

1130 U.S. PTO  
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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|   |                        |                     |
|---|------------------------|---------------------|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><small>(Only for new nonprovisional applications under 37 CFR 1.53(b))</small> | Attorney Docket No.    | HERAEUS 384-WCG     |
|   | First Inventor         | Dr. Matthias SCHAUB |
|   | Title                  | [SEE APPENDIX]      |
|   | Express Mail Label No. | EL867733089US       |

|  |   |
|--|---|
| <b>APPLICATION ELEMENTS</b><br><small>See MPEP chapter 600 concerning utility patent application contents.</small> | <b>ADDRESS TO:</b> Assistant Commissioner for Patents<br>Box Patent Application<br>Washington, D.C. 20231 |
|--|---|

|   |   |
|---|---|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/><i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status.<br/>See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification <small>[Total Pages <input type="text" value="14"/></small><br/><i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"><li>- Descriptive title of the invention</li><li>- Cross Reference to Related Applications</li><li>- Statement Regarding Fed sponsored R &amp; D</li><li>- Reference to sequence listing, a table, or a computer program listing appendix</li><li>- Background of the Invention</li><li>- Brief Summary of the Invention</li><li>- Brief Description of the Drawings <i>(if filed)</i></li><li>- Detailed Description</li><li>- Claim(s)</li><li>- Abstract of the Disclosure</li></ul> <p>4. <input type="checkbox"/> Drawing(s) (35 U.S.C. 113) <small>[Total Sheets <input type="text"/></small></p> <p>5. Oath or Declaration <small>[Total Pages <input type="text"/></small></p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program <i>(Appendix)</i></p> <p>8. Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
|---|---|

|  |   |
|--|---|
| <b>ACCOMPANYING APPLICATION PARTS</b>  |   |
| 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))  |   |
| 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney<br><i>(when there is an assignee)</i>           |   |
| 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>   |   |
| 12. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449  | <input checked="" type="checkbox"/> Copies of IDS Citations |
| 13. <input checked="" type="checkbox"/> Preliminary Amendment  |   |
| 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br><i>(Should be specifically itemized)</i>                           |   |
| 15. <input checked="" type="checkbox"/> Certified Copy of Priority Document(s)<br><i>(if foreign priority is claimed)</i>                        |   |
| 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. |   |
| 17. <input checked="" type="checkbox"/> Other: Appendix  |   |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit \_\_\_\_\_

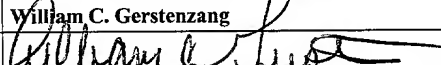
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

☒ Customer Number or Bar Code Label  or ☐ Correspondence address below

(Insert Customer No. or Attach bar code label here)

|         |                                   |           |              |          |              |
|---------|-----------------------------------|-----------|--------------|----------|--------------|
| Name    | William C. Gerstenzang            |           |              |          |              |
|         | 27386                             |           |              |          |              |
|         | PATENT TRADEMARK OFFICE           |           |              |          |              |
| Address | NORRIS, MCLAUGHLIN & MARCUS, P.A. |           |              |          |              |
|         | 220 East 42nd Street, 30th Floor  |           |              |          |              |
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| Country | United States                     | Telephone | 212-808-0700 | Fax      | 212-808-0844 |

|                   |   |                                   |                  |
|-------------------|---|-----------------------------------|------------------|
| Name (Print/Type) | William C. Gerstenzang  | Registration No. (Attorney/Agent) | 27,552           |
| Signature         |  | Date                              | January 22, 2002 |

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

\$740.00

## Complete if Known

|                      |                     |
|----------------------|---------------------|
| Application Number   | To Be Assigned      |
| Filing Date          | Herewith            |
| First Named Inventor | Dr. Matthias SCHAUB |
| Examiner Name        | To Be Assigned      |
| Group Art Unit       | To Be Assigned      |
| Attorney Docket No.  | Heraeus 384-WCG     |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **14-1263**

Deposit Account Name

- ☒ Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

- ☐ Applicant claims small entity status. See 37 CFR § 1.27

2. ☐ Payment Enclosed:

- ☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Code         | Fee (\$) | Code         | Fee (\$) |                        |          |
| 101          | 740      | 201          | 370      | Utility filing fee     | 740.00   |
| 106          | 330      | 206          | 165      | Design filing fee      |          |
| 107          | 510      | 207          | 255      | Plant filing fee       |          |
| 108          | 740      | 208          | 370      | Reissue filing fee     |          |
| 114          | 160      | 214          | 80       | Provisional filing fee |          |
| SUBTOTAL (1) |          |              |          |                        | 740.00   |

### 2. EXTRA CLAIM FEES

| Extra Claims       |         | Fee from below |   | Fee Paid     |
|--------------------|---------|----------------|---|--------------|
| Total Claims       | -20** = |                | X |              |
| 6                  |         | 0              | X | 18.00 = 0.00 |
| Independent Claims | -3** =  |                | X | Fee Paid     |
| 1                  |         | 0              | X | 84.00 = 0.00 |
| Multiple Dependent |         |                |   |              |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Code         | Fee (\$) | Code         | Fee (\$) |  |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                     |
| 102          | 84       | 202          | 42       | Independent claims in excess of 3                          |
| 104          | 280      | 204          | 140      | Multiple dependent claim, if not paid                      |
| 109          | 84       | 209          | 42       | ** Reissue independent claims over original patent         |
| 110          | 18       | 210          | 9        | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) \$0.00

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Entity        |          | Small Entity |          | Fee Description  | Fee Paid |
|---------------------|----------|--------------|----------|--|----------|
| Code                | Fee (\$) | Code         | Fee (\$) |  |          |
| 105                 | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127                 | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 139                 | 130      | 139          | 130      | Non - English specification  |          |
| 147                 | 2,520    | 147          | 2,520    | For filing a request for <i>ex parte</i> reexamination                     |          |
| 112                 | 920*     | 112          | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 113                 | 1,840*   | 113          | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 115                 | 110      | 215          | 55       | Extension for reply within first month                                     |          |
| 116                 | 400      | 216          | 200      | Extension for reply within second month                                    |          |
| 117                 | 920      | 217          | 460      | Extension for reply within third month                                     |          |
| 118                 | 1,440    | 218          | 720      | Extension for reply within fourth month                                    |          |
| 128                 | 1,960    | 228          | 980      | Extension for reply within fifth month                                     |          |
| 119                 | 320      | 219          | 160      | Notice of Appeal   |          |
| 120                 | 320      | 220          | 160      | Filing a brief in support of an appeal                                     |          |
| 121                 | 280      | 221          | 140      | Request for oral hearing   |          |
| 138                 | 1,510    | 138          | 1,510    | Petition to institute a public use proceeding                              |          |
| 140                 | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141                 | 1,280    | 241          | 640      | Petition to revive - unintentional   |          |
| 142                 | 1,280    | 242          | 640      | Utility issue fee (or reissue)   |          |
| 143                 | 460      | 243          | 230      | Design issue fee   |          |
| 144                 | 620      | 244          | 310      | Plant issue fee  |          |
| 122                 | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123                 | 50       | 123          | 50       | Processing fee under 37 CFR § 1.17(q)                                      |          |
| 126                 | 180      | 126          | 180      | Submission of Information Disclosure Statement                             |          |
| 581                 | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146                 | 740      | 246          | 370      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                 | 740      | 249          | 370      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| 179                 | 740      | 279          | 370      | Request for Continued Examination (RCE)                                    |          |
| 169                 | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |
| Other fee (specify) |          |              |          |  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

## SUBMITTED BY

Name (Print/Type) William C. Gersternzang

Registration No. (Attorney/Agent)

27,552

## Complete (if applicable)

Telephone

212-808-0800

Signature

Date

January 22, 2002

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EXPRESS MAIL CERTIFICATE

"Express Mail" mailing label number EL 867733089US  
Date of Deposit January 22, 2002

I hereby certify that the following items:

- 1) Utility Patent Application Transmittal
- 2) Fee Transmittal in duplicate - **CHARGE DEPOSIT ACCOUNT**
- 3) Specification consisting of:  
Description (Pages 1 - 12); Claims (Page 13); and Abstract (Page 14)
- 4) Preliminary Amendment - 7 pages (annexing marked-up copy of amended claims and Abstract)
- 5) Transmittal of Priority Document
- 6) German Priority Document No. 101 04 079.2
- 7) Information Disclosure Statement
- 8) PTO 1449, citing and attaching four (4) references
- 9) Copy of German Office Action
- 10) Appendix
- 11) Return Receipt Post Card

are being deposited with the United States Postal Services "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the: BOX PATENT APPLICATION, Hon. Assistant Commissioner for Patents, Washington, D.C. 20231.

NORRIS, McLAUGHLIN & MARCUS, P.A.

By 

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